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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Albert R. DiPiero and David G. Sanders

Application No.: 09/990,123

Filed: November 21, 2001

For: HEALTH PLAN MANAGEMENT METHOD AND APPARATUS

INFORMATION DISCLOSURE STATEMENT

TO THE COMMISSIONER FOR PATENTS:

Pursuant to their duty of disclosure, applicants enclose copies of the documents listed on the accompanying Form PTO-1449.

1. This information disclosure statement is being submitted:

- a. ☒ Within three months of the filing date of the above-identified application or within three months of the date of entry of the national stage, or before the mailing date of the first Office action on the merits, whichever event occurs last. (No statement under 37 CFR 1.97(e) is required.)
- b. ☐ After the period set forth in paragraph 1a, but before the mailing date of either a final action or a notice of allowance. (Check box i. or ii.)
 - i. A \$240.00 information disclosure statement submission fee set forth in 37 CFR 1.17(p) is enclosed.
 - ii. ☐ A statement specified by 37 CFR 1.97(e) is set forth below.
- c. ☐ After the mailing date of a final action or notice of allowance and on or before payment of an issue fee. A statement specified by 37 CFR 1.97(e) is set forth below. A petition requesting consideration of the information disclosure statement and the \$130.00 petition fee set forth in 37 CFR 1.17(i) are enclosed.


2. ☐ The attorney or agent signing below hereby states that:

- ☐ each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.
- ☐ no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office

in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement.

3. ☐ Applicant(s) set forth below concise explanations of the relevance of each document not in the English language and/or selected document(s) in the English language.

By


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Registration No. 39,525

April 8th, 2002

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FORM PTO-1449
(REV. 7-80)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

APPLICATION NO.

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

APPLICANTS

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U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

DOCUMENT
NUMBER

DATE

COUNTRY

CLASS

SUBCLASS

TRANSLATION
YES NO

AB

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

AC

"Health Grades, The Healthcare Quality Experts", *Source: www2.healthgradws.com*, printed
December 7, 2001, 64 pages

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"Private Letter Ruling", *Internal Revenue Service (I., R.S.)*, Issue: February 18, 2000 / November
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"LEXSTAT 26 USC 106", *LEXIS Law Publishing*, 2001, 7 pages

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Jacob, Julie A., "Some insurers embracing defined contribution plans", *amednews.com*, March 12,
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"Myhealthbank names two to management team", *The Business Journal, Portland*, June 2000, 2
pages

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP609. Draw line through citation
if not in conformance and not considered. Include copy of this form with next communication to applicant.